

Docket No. 1370.1003/RAG

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Joseph R. PALACIOS et al.

Serial No.: 09/668,305

Filed: September 25, 2000

: Group Art Unit:

: Examiner:

For: **CALL PROCESSING SYSTEM WITH INTERACTIVE VOICE
RESPONSE**

SUBMISSION OF VERIFIED STATEMENT CLAIMING SMALL ENTITY

Assistant Commissioner
for Patents
Washington, D.C. 20231

Sir:

Attached is a Verified Statement Claiming Small Entity Status in this application under

- ☒ 37 C.F.R. §§1.9(d) and 1.27(c) by a Small Business Concern.
- ☐ 37 C.F.R. §§1.9(c) and 1.27(b) by an independent inventor.
- ☐ 37 C.F.R. §§1.9(e) and 1.27(d) by a nonprofit organization.

Respectfully submitted,
STAAS & HALSEY LLP

By: Richard A. Gollhofer
Richard A. Gollhofer
Registration No. 31,106

Date: 11/16/00

700 Eleventh Street, NW
Suite 500
Washington, D.C. 20001
(202) 434-1500

PATENT

Attorney's Docket No. 1370.1003/RAG

Applicant or Patentee: Joseph R. Palacios et al.
Serial or Patent No.: 09/668,305
Filed or issued: September 25, 2000
For: CALL PROCESSING SYSTEM WITH INTERACTIVE VOICE RESPONSE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(c)) -- SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN Hanover Communications
ADDRESS OF CONCERN 20 North Meridian Street
Indianapolis, IN 46204

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that all rights under contract or law have been conveyed, to and remain with the small business concern identified above with regard to the invention, entitled CALL PROCESSING SYSTEM WITH INTERACTIVE VOICE RESPONSE

by inventor(s) Joseph Palacios, Ramchand Angia, Kenneth Edwards
described in

- ☐ the specification filed herewith.
☒ application serial no. 09/668,306, filed September 25, 2000
☐ patent no. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

***NOTE:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

(Small Entity--Small Business [7-4] -- Page 1 of 2)

NAME

ADDRESS

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

NAME

ADDRESS

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Fritz Breisch

TITLE OF PERSON OTHER THAN OWNER Vice President

ADDRESS OF PERSON SIGNING 20 North Meridian Street, Indianapolis, IN 46204

SIGNATURE



Date:

10/23/00

S&H 1/93

FORM PTO-1595
(Rev. 6-03)

RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

S&H 1/99

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Joseph Palacios
2624 Towne Oaks Drive
St. Louis, Missouri 63129

Ramchand Angia
5565 Vista Creek
St. Louis, Missouri 63128

Kenneth Edwards
10031 Highland Springs Drive
McCordsville, IN 46055

2. Name and address of receiving party(ies):

HANOVER COMMUNICATIONS
20 North Meridian Street
Indianapolis, IN 46204

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other: _____

Execution Date(s): October 19 and 23, 2000

4. Application number(s) or patent number(s):

This document is being filed together with a new application:

- (a) The execution date(s) of the application is/are: *
(b) The title is: *
*** OR ***

This document is being filed after filing of the application:

- (a) Patent Application No(s). 09/668,306, filed September 25, 2000; or
(b) Patent No(s). _____, issued _____.

5. Name and address of party to whom correspondence concerning document should be mailed:

STAAS & HALSEY LLP
Attention: Richard A. Gollhofer
700 Eleventh Street, N.W., Suite 500
Washington, D.C. 20001

Our Docket: 1370.1003

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41)..... \$ 40.00

☒ Enclosed
☐ Authorized to be charged to deposit account.

8. Deposit Account No.: 19-3935 (Any underpayment is authorized to be charged to this Deposit Account)
(Attach duplicate copy of this page if paying by deposit account)

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Richard A. Gollhofer, Reg. No. 31,106

Name of Person Signing

Richard A. Gollhofer

Signature

11/13/00

Date

Total number of pages including cover sheet: 4

DO NOT USE THIS SPACE

Docket No. 1370.1003/RAG
(Worldwide Rights)

ASSIGNMENT

58H 0700

WHEREAS:

(FULL NAME(S) AND
POST OFFICE ADDRESS(ES)
(including country)
OF INVENTOR(S))

Joseph Palacios
2624 Towne Oaks Drive
St. Louis, Missouri 63129

Ramchand Angia
5565 Vista Creek
St. Louis, Missouri 63128

Kenneth Edwards
10031 Highland Springs Drive
McCordsville, IN 46055

(hereinafter, referred to as ASSIGNOR), has/have invented certain new and useful improvements
in an invention entitled

(TITLE OF INVENTION)

CALL PROCESSING SYSTEM WITH INTERACTIVE VOICE RESPONSE

(COMPLETE EITHER

(a), (b), (c) or (d))

- ☐ (a) for which an application for United States Letters Patent is being executed and filed concurrently herewith;
- ☐ (b) for which an application for United States Letters Patent was executed on _____;
- ☒ (c) for which an application for United States Letters Patent was filed on September 25, 2000,
Serial No. 09/668,306;
- ☐ (d) for which United States Letters Patent No. _____
has issued on _____.

Any registered attorney of STAAS & HALSEY LLP, 700 Eleventh
Street, N.W., Washington, D.C. 20001 (202/434-1500) is hereby
authorized to insert in (b)-(d) the specified data, when known.

WHEREAS:

(FULL NAME AND
ADDRESS (including country)
OF ASSIGNEE (if a corporation,
so state and identify state/country
of corporation)

Hanover Communications
20 N. Meridian Street #600
Indianapolis, Indiana 46204

- 2 -

(hereinafter referred to as ASSIGNEE), is desirous of acquiring the entire interest in, to and under said invention and in, to and under Letters Patent or similar legal protection to be obtained therefor in the United States and in any and all foreign countries.

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for valuable consideration furnished by ASSIGNEE to ASSIGNOR, sufficiency and receipt of which are hereby acknowledged, ASSIGNOR hereby sells, assigns and transfers to ASSIGNEE, its lawful successors and assigns, the full and exclusive right, title and interest to said invention in the United States and its territorial possessions and in all foreign countries and to all Letters Patent or similar legal protection in the United States and its territorial possessions and in any and all foreign countries to be obtained for said invention by said application or any continuation, division, continuation-in-part, reexamination, renewal, substitute, extension or reissue thereof or any legal equivalent thereof in a foreign country for the full term or terms for which the same may be granted; and authorize and request the Commissioner of Patents of the United States and any official of any foreign country whose duty it is to issue patents or legal equivalents thereto, to issue same for this invention to ASSIGNEE, its lawful successors and assigns.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to ASSIGNOR and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof in any foreign country which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS THEREOF, I/We have hereunto set hand and signed on the date indicated below;

SIGNATURE(S)

The signature(s) must correspond with the name(s) of the inventor(s) above.

INVENTOR(S)

- 1) Joseph R. Palacios
Joseph Palacios
- 2) A.S. Ramchand
Ramchand Angia
- 3) Kenneth Edwards
Kenneth Edwards

DATE SIGNED

10/19/00
10/19/2000
10/23/00

WITNESS(ES)

[Signature]
[Signature]
[Signature]

S&H Form (Rev. 7/00)

UNITED STATES

Docket No.: 1370.1003/RAG

COMBINED DECLARATION/POWER OF ATTORNEY FOR UTILITY/DESIGN PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

CALL PROCESSING SYSTEM WITH INTERACTIVE VOICE RESPONSE

the specification of which is attached hereto, unless the following box is checked:

☐ was filed on September 25, 2000 as United States Application Number or PCT International Application Number 09/668,306 and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefit(s) under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

(Number)

(Country)

Day/Month/Year Filed

☐

(Number)

(Country)

Day/Month/Year Filed

☐

I hereby claim the benefit under 35 U.S.C. § 120 or § 119(e) of any United States application(s), or § 365(e) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application(s) in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

(Application Serial No.)

(Filing Date)

(Status -- patented, pending, abandoned)

(Application Serial No.)

(Filing Date)

(Status -- patented, pending, abandoned)

I hereby appoint the attorneys and agents of Staas & Halsey LLP under USPTO Customer No. 21,171 to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:



21171

PATENT TRADEMARK OFFICE

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Joseph R. PalaciosInventor's Signature Joseph R. Palacios Date 10/19/00Residence 2624 Towne Oaks Drive, St. Louis, Missouri 63129Citizenship U.S.A.

Post Office Address (Same as above)

Full name of second joint inventor, if any Ramchand AngelaSecond Inventor's Signature A.S. Ramchand Date 10/19/2000Residence 5565 Vista Creek, St. Louis, Missouri 63128Citizenship India

Post Office Address (Same as above)

S&H 8/00

UNITED STATES

Docket No.: 1370.1003/RAG

COMBINED DECLARATION/POWER OF ATTORNEY FOR UTILITY/DESIGN PATENT APPLICATION

Full name of third inventor Kenneth Edwards

Inventor's Signature *Kenneth Edwards*

Date

10/23/00

Residence 10031 Highland Springs Drive, McCordsville, IN 46055

Citizenship U.S.A.

Post Office Address (Same as above)

Full name of fourth inventor, if any

Inventor's Signature

Date

Residence

Citizenship

Post Office Address

Full name of fifth inventor

Inventor's Signature

Date

Residence

Citizenship

Post Office Address

Full name of sixth inventor, if any

Inventor's Signature

Date

Residence

Citizenship

Post Office Address

Full name of seventh inventor

Inventor's Signature

Date

Residence

Citizenship

Post Office Address

Full name of eighth inventor, if any

Inventor's Signature

Date

Residence

Citizenship

Post Office Address

Full name of ninth inventor

Inventor's Signature

Date

Residence

Citizenship

Post Office Address